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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/533,781	03/24/2000	Sriram Ramani	HP10992784	2479

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EXAMINER

BASEHOAR, ADAM L

ART UNIT	PAPER NUMBER
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2178

DATE MAILED: 11/30/2005

Please find below and/or attached an Office communication concerning this application or proceeding.

**Office Action Summary**

Application No.

09/533,781

Applicant(s)

RAMANI ET AL.

Examiner

Adam L. Basehoar

Art Unit

2178

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

**Period for Reply**

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

**Status**

- 1) ☒ Responsive to communication(s) filed on 02 September 2005.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

**Disposition of Claims**

- 4) ☒ Claim(s) 1-9 and 11-27 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-9 and 11-27 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

**Application Papers**

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

**Priority under 35 U.S.C. § 119**

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
- ☐ Certified copies of the priority documents have been received.
  - ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  - ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
- \* See the attached detailed Office action for a list of the certified copies not received.

**Attachment(s)**

- ☒ Notice of References Cited (PTO-892)
- ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- ☐ Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)  
Paper No(s)/Mail Date \_\_\_\_\_
- ☐ Interview Summary (PTO-413)  
Paper No(s)/Mail Date. \_\_\_\_\_
- ☐ Notice of Informal Patent Application (PTO-152)
- ☐ Other: \_\_\_\_\_

### DETAILED ACTION

1. This action is responsive to communications: The RCE filed 09/02/05.
2. Claims 24-27 have been added as necessitated by Amendment.
3. Claim 10 has been cancelled as necessitated by Amendment.
4. The rejection of claims 1-6, 8-9, 11-20 under 35 U.S.C. 102(e) as being anticipated by Byford (US-6,220,509 04/24/01) have been withdrawn as necessitated by Amendment.
5. The rejection of claim 7 under 35 U.S.C. 103(a) as being unpatentable over Byford (US-6,220,509 04/24/01) in view of W3C's "XML 1.0", 02/10/98 <http://www.w3.org/TR/1998/REC-xml-19980210#sec-intro> has been withdrawn as necessitated by Amendment.
6. Claims 1-9, 11-27 are pending in this case. Claims 1, 11, 18, and 24 are independent claims.

### *Claim Rejections - 35 USC § 103*

7. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

8. Claims 1-6, 8-9, 11-15, 18-19, and 21-27 are rejected under 35 U.S.C. 103(a) as being unpatentable over Microsoft Office 97, "Getting Results with Microsoft Office 97", 12/31/97, pp. 28, 169-175, 408, 425 & 427-432 (Hereafter "Office 97") in view of Tabb et al (US-5,603,025 02/11/97).

Art Unit: 2178

-In regard to substantially similar independent claims 1, 11, 18, and 24, Office 97 teaches an active document encapsulating a transaction and the transactions current status, comprising:

a parent transaction resource (pp. 174: i.e. annual report Word document), wherein the parent transaction resource represents and encapsulates data of one parent transaction (pp. 174: “annual report”) and is linked (pp. 174: “Paste Link”) to data generated by one or more secondary transaction resources (pp. 174: “sales figures from Microsoft Excel” worksheet) and wherein the data generated by the one or more secondary transaction resources are used to change contents of the parent transaction resource if corresponding contents of the one or more secondary transaction resources are updated (pp. 174: “When the figures change in the worksheet, they are automatically updated in the Word document as well”), the parent transaction resource comprising:

a first set of data fields (pp. 174: “5-Year Total Market Forecast” numerical and graphical fields, as well as text based fields), wherein the data fields represent attributes of a parent transaction (i.e. represent sections of the annual report) and include a sub-identifier field (i.e. field location of Pasted Link to Excel worksheet), one or more data fields that are updated with data from the one or more secondary transaction resources (pp. 174: “When the figures change in the worksheet, they are automatically updated in the Word document as well”) and data fields that are independent of the one or more secondary transaction resources and are not updated with data from the one or more secondary transaction resources (pp. 174: i.e. 5-Year Total Market Forecast Graph or Business Strategy and Implementation fields are not updated with changes to the Excel Worksheet); and

a first set of metadata (pp. 174: “Market Forecast”, “5-Year Total Market Forecast”, “1997”, “Keyboards”, etc) wherein the first set of metadata populates the first set of data fields (pp. 174: “5-Year Total Market Forecast” numerical and graphical fields, as well as text based fields) and describes the attributes represented by the first set of data fields, the sub-identifier field including metadata from the first set of metadata that identifies the one or more secondary transaction resources (i.e. field location of Pasted Link identifies corresponding Excel worksheet), the metadata in the sub-identifier field including linking data generated by the one or more secondary transaction resources (pp. 174: “In Microsoft Excel, copy the cells you want to create a link to your Word document”) to link the secondary and parent resources, wherein the linking data is used to change contents of the parent transaction resources if corresponding contents of the secondary transaction have been changed (pp. 174: “When the figures change in the worksheet, they are automatically updated in the Word document as well”).

Office 97 also teaches wherein the parent transaction was an annual report and the secondary transaction was worksheet detailing past and current sales figures (pp. 174). Office 97 does not specifically teach wherein the parent transaction was a purchase order and the secondary transaction was a sales order. Tabb et al teach a similar document system wherein the active document was a purchase order and the linked secondary document was a sales order (Fig. 7B). It would have been obvious to one of ordinary skill in the art at the time of the invention, for Office 97 to have displayed linked purchase and sales orders, because Tabb et al teach that by doing so users can automatically be kept up-to-date with all related data pertaining to the status of their delivery order (Abstract).

-In regard to dependent claim 26, Office 97 teaches creating links to virtually any type of information among Office applications (pp. 174). Office 97 does not specifically teach wherein the second set of data fields includes a sub-identifier field that links the first secondary transaction to a second secondary transaction which includes a third set of data fields and a third set of metadata, whereby changes to the secondary transaction resource are reflected in the first transaction resource. It would have been obvious to one of ordinary skill in the art at the time of the invention for Office 97 to have linked a third transaction to the second transaction and updated said second transaction with information in said third transaction, because Office 97 teaches linking information in different applications provides the benefit of automatically updating related fields to maintain up-do-date information (pp. 174).

-In regard to dependent claim 27, Office 97 teaches wherein changes to the first secondary transaction resource are reflected in only one data field in the parent transaction resource (pp. 171: "Creating a link" example shows a one to one linking relationship between a parent transaction and a secondary transaction).

-In regard to dependent claim 2, Office 97 teaches a parent transaction resource comprising the first set of data fields (pp. 174: "5-Year Total Market Forecast" numerical and graphical fields, as well as text based fields) and the first set of metadata (pp. 174: "Market Forecast", "5-Year Total Market Forecast", "1997", "Keyboards", etc).

Art Unit: 2178

-In regard to dependent claims 3-4, 12-13, and 25, Office 97 teaches wherein the sub-identifier field links the parent transaction resource to a sub transaction resource (pp. 174: “Paste Link” and “When the figures change in the worksheet, they are automatically updated in the Word document as well”) which comprises a second set of data fields (pp. 174: note Excel Worksheet data fields) and a second set of metadata (pp. 174: note Excel Worksheet metadata, i.e. “Keyboards”, “1997”) that represent the attributes of the secondary transaction, wherein changes in the secondary transaction would be reflected in the parent transaction resource via the link (pp. 174: “When the figures change in the worksheet, they are automatically updated in the Word document as well”). Office 97 further teach wherein the second set of metadata (pp. 174: i.e. Excel Worksheet) comprises relational data that corresponds to the first set of data fields (pp. 174: i.e. Annual Report) and wherein a change to the transaction specific data was made in the corresponding data field by populating the corresponding data field with transaction specific data (pp. 174: “When the figures change in the worksheet, they are automatically updated in the Word document as well”).

-In regard to dependent claim 5, Office 97 teaches wherein the first set of metadata was stored in a repository (i.e. in memory) that was accessed by a core (i.e. by a processor)(pp. 28).

-In regard to dependent claim 6, Office 97 teaches wherein the core matches the sub-identifier field to one of the one or more secondary transaction resources and updates the first of data fields by populating at least one data field with data generated by the secondary transaction

Art Unit: 2178

(pp. 174: “When the figures change in the worksheet, they are automatically updated in the Word document as well”).

-In regard to dependent claims 8 and 19, Office 97 teaches wherein if it was an online document, data fields could include permission fields which includes metadata that specifies who can access the active document and allowing client access to the document if the client is permitted to access the parent transaction resource (pp. 425 & 408: permission to open and permission to modify fields may be set so that your document may not be changed by online readers).

-In regard to dependent claim 9, Office 97 teaches creating links to virtually any type of information among Office applications (pp. 174). Office 97 does not specifically teach wherein the data fields include a second sub-identifier that includes metadata that identifies a second secondary transaction, linking data generated by the second transaction to the active document in the same way as the first transaction. It would have been obvious to one of ordinary skill in the art at the time of the invention for Office 97 to have linked two or more transactions to the active document, because Office 97 teaches linking information in different applications provides the benefit of automatically updating related fields to maintain up-do-date information (pp. 174).

-In regard to dependent claim 14, Office 97 teaches populating the sub-identifier field with metadata that identifies the secondary transaction (pp. 174: “5-Year Total Market



Art Unit: 2178

Forecast”); and populating the identifier field with metadata that identifies the parent transaction (pp. 171: “and a pointer to the information in another location”)

-In regard to dependent claim 15, Office 97 teaches registering the parent transaction resource (pp. 174: Word Document) and the sub-transaction resource (pp. 174: Excel Worksheet) in a repository (i.e. memory), whereby the first set of metadata and the second set may be accessed and updated (pp. 174: “When the figures change in the worksheet, they are automatically updated in the Word document as well”).

-In regard to dependent claims 21-23, Office 97 teaches wherein multiple related transactions (pp. 174: i.e. via the pasted link the word document tracks each transaction (Speakers, Electronics, etc) in the corresponding Excel worksheet.

9. Claims 16-17 and 20 are rejected under 35 U.S.C. 103(a) as being unpatentable over Microsoft Office 97, “Getting Results with Microsoft Office 97”, 12/31/97, pp. 28, 169-175, 408, 425, & 427-432 (Hereafter “Office 97”) in view of Tabb et al (US-5,603,025 02/11/97) in further view of Igra et al (US-6,701,485 03/02/04).

-In regard to dependent claims 16 and 17, Office 97 does not specifically teach wherein the code submitted was possibly C++, Perl, Python, or Java. Igra et al teach wherein the programming language could be written in C++ or Java which supports extensible markup language (column 3, lines 35-39; column 5, lines 26-33). It would have been obvious to one of ordinary skill in the art at the time of the invention for Office 97, to have written the code in C++

Art Unit: 2178

or Java because, because Igra et al teach that doing so provided a method for binding spreadsheet cells to external objects that incorporates a direct communications scheme with little overhead (column 3, lines 25-31).

-In regard to dependent claim 20, Office 97 does not specifically teach displaying the updated transaction to the client using a web browser. Igra et al teach utilizing a web browser for displaying an updated transaction to a user (Fig. 4). It would have been obvious to one of ordinary skill in the art at the time of the invention for Office 97, to have utilized a browser to display the updated transaction to a client, because Igra et al teach what was notoriously well known in art at the time of the invention, that web browsers provided the benefit of remote information access over a network.

10. Claim 7 is rejected under 35 U.S.C. 103(a) as being unpatentable over Microsoft Office 97, "Getting Results with Microsoft Office 97", 12/31/97, pp. 28, 169-175, 408, 425, & 427-432 (Hereafter "Office 97") in view of Tabb et al (US-5,603,025 02/11/97) in further view of Igra et al (US-6,701,485 03/02/04) in further view of W3C's "XML 1.0", 02/10/98 <http://www.w3.org/TR/1998/REC-xml-19980210#sec-intro>.

-In regard to dependent claim 7, Office 97 does not specifically teach wherein the active document was written in XML and capable of being displayed by a browser. Igra et al teach utilizing a web browser for displaying an updated transaction to a user (Fig. 4). It would have been obvious to one of ordinary skill in the art at the time of the invention for Office 97, to have utilized a browser to display the updated transaction to a client, because Igra et al teach what was

Art Unit: 2178

notoriously well known in art at the time of the invention, that web browsers provided the benefit of remote information access over a network. W3C teaches that it would have been obvious to one of ordinary skill in the art at the time of the invention, for Office 97 to have written the transactions in XML, because XML documents were known to be easy to write and process for web based applications (Introduction).

### ***Response to Arguments***

11. Applicant's arguments with respect to claims 1, 11, 18, and 24 have been considered but are moot in view of the new ground(s) of rejection.

### ***Conclusion***

12. The prior art made of record and not relied upon is considered pertinent to applicant's disclosure.

US-6,362,838	03/26/02	Szlam et al.
US-6,725,429	04/20/04	Gardner et al.

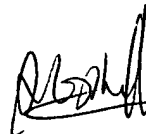
13. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Adam L. Basehoar whose telephone number is (571)-272-4121. The examiner can normally be reached on M-F: 7:00am - 4:00pm.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Steve Hong can be reached on (571) 272-4124. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Art Unit: 2178

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

ALB



**STEPHEN HONG**  
**SUPERVISORY PATENT EXAMINER**